

Summary of Funding Information

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Template Name	BY2020
Is this investment a consolidated business case?	No
Consolidated Business Case Parent Investment(s)	
Investment Name	BAS - Budget Automation System
Investment Revision Number	39
Point of Contact	Chin, Derek
Revision Comment	
Full UPI/UII Code	020-000010061 00-00-02-16-02-00
OMB Short Description	BAS - Budget Automation System, formerly titled BFS - Budget Formulation System, is EPA's Budgeting System. As of 2011, this investment is detached from OCFO Legacy Financial System business case. Retirement to occur in FY 2019 depending upon BFS hosting project.

Briefly describe the investment's purpose, goals, and current or anticipated benefits (quantitative and/or qualitative). Include the investment's specific contribution to mission delivery or agency management support functions and identify key customers, stakeholders, and other beneficiaries.

The purpose of the Budget Automation System is to provide an integrated budgeting and performance management system for the entire agency, with the goal of supporting the development of congressional justifications, OMB submissions, operating plans, and other important budget functions the offices of the agency require. The primary beneficiaries include, the agency, OMB, and Congress.

OCFO is replacing the Budget Automation System with the Budget Formulation System.

How does the investment support EPA's Mission, Strategic Goals, Sub-Objectives, Program Activities and Objectives?

BAS provides consolidated budgeting system for the entire agency for congressional justifications, OMB, operating plan, and other miscellaneous functions.

The new Budget Formulation System would provide consolidated budgeting system for the entire agency for congressional justifications, OMB, operating plan, and other miscellaneous functions.

Investment BY2014 Summary/Description

The Budget Formulation System will undergo development in BY 2014.

Is the investment 508 compliant?	N/A
Explain why not or how this is being done? (508 Compliance)	This is a legacy system created prior to 508 compliance. However, with the new system that is under development in 2014, we plan to be 508 compliant.

Life Cycle Costs FOR PROJECT STAGES

* Costs in thousands

	PY - 6 2012 and Prior	PY - 5 2013	PY - 4 2014	PY - 3 2015	PY - 2 2016	PY - 1 2017	PY 2018	CY 2019	BY 2020	BY + 1 2021	BY + 2 2022	BY + 3 2023	BY + 4 2024	BY + 5 2025	BY + 6 2026	BY + 7 2027	BY + 8 2028 and Beyond	Total
Planning Costs																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
DME (Excluding Planning) Costs																		
Budgetary Resources	84	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	84
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Planning Govt. FTE Costs																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
DME (Excluding Planning) Govt. FTE Costs																		
Budgetary Resources	390	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	390
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-Total DME Costs (Including Govt. FTE)																		
Budgetary Resources	474	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	474
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
O&M Costs																		
Budgetary Resources	9619	899	1280	1138	628	824	537	537	0	0	0	0	0	0	0	0	0	15462
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Disposition Costs (optional)																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
O&M Govt. FTE Costs																		
Budgetary Resources	1237	197	70	120	124	71	71	71	16	0	0	0	0	0	0	0	0	1977
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-Total O&M Costs (Including Govt. FTE)																		
Budgetary Resources	10856	1096	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	17439
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Cost (Including Govt. FTE costs)																		
Budgetary Resources	11330	1096	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	17913
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Government FTE Costs																		
Budgetary Resources	1627	197	70	120	124	71	71	71	16	0	0	0	0	0	0	0	0	2367
PY President's Budget																		
Total Budget (\$)							0	0										
Total Change (\$)							608	608										
Total Change (%)							0	0										

BY 2014 Internal Summary of Funding Estimates Table
(include non-pay and pay dollars)

Funding Type	2014	2015
Planning	0	0
DME (excluding Planning)	2578.1	4338.5
OM	1620.8	1653.2

In which year did or will this investment begin? (Specify 1997
year - e.g., 2013)?

In which year will this investment reach the end of its 2020
estimated useful life? (specify year - e.g., 2021)

Additional Questions

Business Reference Model (BRM) Mapping 402129

Service Code Mapping 753628

Integrated Program Team (IPT) Contact Information

OMB ID	IPT Member Role	Title	Name	Phone Number	Extension	Email	Include In OMB Dashboard
	IT PM		Chin, Derek J	2025641895		chin.derek@epa.gov	Omit Synchronization
	Business Process Owner		Terris, Carol	2025640533		terris.carol@epa.gov	Omit Synchronization
	Contract Specialist		Herzfeld, Jackye	2025644599		herzfeld.jackye@epa.gov	Omit Synchronization
	IT Specialist		Herzfeld, Jackye	2025644599		herzfeld.jackye@epa.gov	Omit Synchronization
	Security Specialist		Kim, Eric	2025646203		kim.eric@epa.gov	Omit Synchronization

Primary Strategic Goal

Multiple-Goal IT Investments

Cross-Cutting Fundamental Strategies

Did you conduct an alternatives analysis for this investment?

Yes

If yes, describe the results of the alternatives analysis.

Two rounds of alternative analysis were performed to determine whether to replace BAS and how to replace it. One under the auspices of OMB's Budget Line of Business activity, which looks at systems across the federal government. The other was a more tailored EPA-specific analysis.

Other existing government and private sector systems were looked at as options by the EPA, but no other systems met EPA's requirements other than the current BAS / Budget Formulation System. Development of Budget Formulation System is a preferred option. Alternatives described, below.

If no analysis is planned, please briefly explain why:

List and describe three alternatives identified for this investment (may include Status Quo).

1. Status Quo - Will require using Citrix to maintain usability when the EPA transitions to Windows 7. However, there are other issues associated with the software, and replacement is preferred over using existing oracle versions that have ongoing software problems. In addition, there are functionality enhancements the EPA needs that will provide significant efficiencies in staff time, and also enable offices to eliminate local systems. In addition, the current system is written to interact with Lotus Notes database which is currently being migrated to the Microsoft suite of tools. The status quo is becoming less of a viable option due to supporting applications and inherent outdated technologies.

2. Rewrite and update - As described above, enhancements in functionality have been identified by the EPA that will save significant staff time, and provide an enterprise solution that replaces a number of locally maintained smaller systems. Other agencies have indicated interest in using a system with the functions in EPA's BAS / BFS if configured to their budget structures. The Budget Formulation System is being offered as a Shared Service to other agencies while utilizing the cloud hosting model, creating savings for the federal government overall and meeting the recent guidance from OMB. To meet that goal, BFS has been established as a new Working Capital Fund service to other agencies.

3. Modify existing government systems - The review looked at systems in place across a number of other agencies. These systems were generally rudimentary and would prove more expensive to modify them than to proceed with the Budget Formulation System development.

What is the impact of NOT funding this investment?

The budgetary information of the agency cannot be formulated without the BAS investment. The same will apply to the replacement system once it is in place - the agency will not be able to formulate budgetary information without the Budget Formulation System. Thus, the agency and external stakeholders will not be able to make the appropriate budget decisions without the Budget Formulation System.

Not replacing the legacy system will mean the agency continues to use outdated technology with increasing costs of maintenance, and forgoes the advantages and efficiencies expected from new functionality that is planned. In addition, the agency and the wider federal government would lose the potential benefit of providing a federal shared service in this area.

As noted before, this CPIC provides a transition from the agency's old legacy status to an improved system. The

current BAS system has been in production since 1997 and will be retired for the new BFS system in 2017.

Does the investment have a Risk Management Plan? Yes

What is the date of the risk management plan? 2/1/2015

Project Execution Data

Projects Table

Projects Table

OMB ID	Project ID	Project Name	Objectives /Expected Outcomes	Project Start Date	Project Completion Date	Project Life cycle Cost	SDLC Methodology	PM Name	PM Level of Experience	PM Phone	PM Extension	PM Email	Release Every 6 Months?	Comment	When was the last date that a revised product was deployed to production?	Funded by TMF or IT WCF Funding	Commercial Solution(s) Adoption	Commercial Solution(s) Reasoning	Commercial Solution(s) Costs	Include In OMB Dashboard
	000010061A	Citrix	Web based version of BAS	11/10/2010	12/31/2013	48	Not Primarily a Software Development Project	Jackye Herzfeld (retired)	No certification, but with 4 or more years PM experience (within the last five years)	2025644599		herzfeld.jackye@epa.gov	N/A			N/A				Omit Synchronization
	000010061B	BAS Maintenance	Operate and maintain BAS for its remaining years while BFS is developed.	07/01/2017	09/30/2019	1503	Not Primarily a Software Development Project	Ed Cottrell	No certification, but with 4 or more years PM experience (within the last five years)	2025645002		cottrill.edward@epa.gov	N/A			N/A				Omit Synchronization

Project Activities

Master Cost & Schedule: Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline

* Costs in thousands

This table represents milestones at Work Breakdown Structure level 1

Activity Number	Is Complete	Project **	Activity Name**	Activity Description**	Structure ID**	OMB ID**	Current Baseline									Include In ITDB		
							Total Cost			Start Date			Completion Date					
							Planned**	Projected	Actual	Planned**	Projected	Actual	Planned**	Projected	Actual			
A.1	Yes	Citrix	Regional Implementation	Implement Citrix in all 10 regions	10061-A.1		\$48.000	\$48.000	\$48.000	11/10/2010	11/10/2010	11/10/2010	12/7/2011	12/7/2011	12/7/2011	Omit Synchronization		
A.2	Yes	Citrix	Headquarter Implementation	Implement Citrix in the rest of the Offices in the Agency. This will coincide with the implementation of Windows 7, ensuring compatibility between the softwares.	10061-A.2		\$48.000	\$48.000	\$48.000	10/1/2012	10/1/2012	10/1/2012	12/31/2012	12/31/2012	12/31/2012	Omit Synchronization		
B.1	Yes	BAS Maintenance	Maintenance/Retirement Phase 1	Maintain the remaining functions in BAS while the other requirements in BFS are being developed.			\$257.000	\$372.000	\$331.500	7/1/2017	7/2/2017	7/1/2017	12/30/2017	12/29/2017	12/30/2017	Omit Synchronization		
B.2	Yes	BAS Mainten	Maintenance/Retirement Phase 2	Plan for the retirement			\$65.000	\$297.000	\$300.000	1/1/2018	1/2/2018	1/1/2018	6/30/2018	6/29/2018	6/30/2018	Omit Synchroniz		

Activity Number	Is Complete	Project **	Activity Name**	Activity Description**	Structure ID**	OMB ID**	Current Baseline									Include In ITDB		
							Total Cost			Start Date			Completion Date					
							Planned**	Projected	Actual	Planned**	Projected	Actual	Planned**	Projected	Actual			
		ance		of BAS. Decide how to retire BAS and gather the required resources. At the same time, keep BAS operating while other BFS modules need to be completed.											ation			
B.3	No	BAS Maintenance	Maintenance/Retirement Phase 3	Begin SLCM documentation and complete all retirement activities and cease operation.			\$32.000	\$149.000		7/1/2018	7/2/2018	7/1/2018	9/30/2018	12/30/2018		Omit Synchronization		
B.4	No	BAS Maintenance	Maintenance/Retirement Phase 4	Complete any decommissioning activities required.			\$15.000	\$7.500		10/1/2018	1/1/2019		12/30/2018	6/30/2019		Omit Synchronization		
B.5	No	BAS Maintenance	Maintenance/Retirement Phase 5	Complete any decommissioning activities required.			\$3.750	\$3.750		7/1/2019	7/2/2019		9/30/2019	9/29/2019		Omit Synchronization		

Project and Operational Risks

Risk assessments should include risk information from all stakeholders and should be performed at the initial concept stage and then monitored and controlled throughout the life-cycle of the investment.

Project and Operational Risks

OMB ID	Risk Type	Project	Risk Name	Risk Category	Risk Probability	Risk Impact	Mitigation Plan	Is This Risk Closed?	Include in IT Dashboard
	Operational Risk		Relationship with other financial systems	Dependencies and Interoperability between this investment and others	Low	Low	Maintain and ensure working relationship between BFS and other financial systems	No	Omit Synchronization
	Operational Risk		Security Risks	Security	Low	Low	The Information Security Officer maintains internal controls, security updates, and system security plan	No	Omit Synchronization
	Operational Risk		Server down time	Technology	Low	Low	In case the server goes down, the backup test server will be used, followed by the server in RTP, followed by physically going to Keylogic Systems in Columbia, Maryland.	No	Omit Synchronization
	Operational Risk		Sensitive budget data	Data/Info	Low	Medium	Ensure proper controls are in place and the correct security measures are taken.	No	Omit Synchronization
	Project Risk	BAS Maintenance	BFS Delayed Development	Schedule	Low	High	Continue operating BAS until BFS is completed.	No	Omit Synchronization
	Project Risk	BAS Maintenance	Unacceptable retirement actions		Low	Low	Work with OEI/EA on SLCM documentation to ensure BAS is phased out appropriately.	No	Omit Synchronization
	Project Risk	BAS Maintenance	Disposing Hardware	Project resources	Low	Low	Ensure all hardware that's no longer needed is done appropriately.	No	Omit Synchronization

Operational Performance Data

Operational Performance Metrics

Provide results specific metrics which are appropriate to the mission of the investment and its business owner or Customer. Generally these metrics should be provided by the investment's business owner and will reflect performance in the broader business activities and not IT-specific functions. The best results specific metrics will support the business case justification and could be the foundation of a quantitative approach to defining benefits in a cost-benefit analysis. Unlike in private industry where identified benefits accrue to the organization, government benefits may accrue to the public. Therefore, results-specific metrics may demonstrate the value realized external to the Federal Government. The table must include a minimum of two results-specific metrics, one of which should reflect customer results.

Each metric description should help the user understand what is being measured. In this field, describe the units used, any calculation algorithm used, and the definition or limits of the population or "universe" measured.

The unit of measure should be characterized (e.g. number, percentage, dollar value etc) for each metric. Each metric listed in the table must also indicate how often actual measurements will be reported (monthly, quarterly or semi-annually), as well as baseline, targets and actual results. The "Actual for PY" should be final actual measurement from the previous year or the average actual results from the previous year. Describe whether a successful actual measurement would be "over the target" or be "under the target" in "Measurement Condition." "Comment" field is required for performance metrics where target not expected to be met. All data will be displayed on the IT Dashboard.

Operational Performance

OMB ID	Metric ID	Metric Name	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	Target for 2018	Target for 2019	Measurement Condition	Reporting Frequency	Agency Strategic Objective or Priority Goal	Is the Metric Retired?	Include In OMB Dashboard
			Number of Responsible Planning and Implementation Offices (RPIOs) using Citrix	Number of Offices					Over target	Semi-Annual			Omit Synchronization
			Percent of the time the server is up and running	Percentage					Over target	Semi-Annual			Omit Synchronization
	A	Financial Actuals Reporting	Financial actuals reporting (e.g. SNC) completed accurately and on time each quarter	Quarterly Reports	Customer Satisfaction (Results)				Over target	Quarterly		No	Omit Synchronization
	B	Ad Hoc Report Retrieval Time Using Citrix	Time it takes to retrieve data in the Ad Hoc Report module using the Citrix web environment. Report used for testing is under Derek Chin's private reports titled: CPIC TESTING	Seconds	Customer Satisfaction (Results)				Under target	Annual		No	Omit Synchronization
	C	External Budget Submissions	External budget submissions (OMB and Congressional Justification) are created and submitted on schedule.	Submissions	Strategic and Business Results				Over target	Annual		No	Omit Synchronization
	D	Final End of Month Actual Results	Compile the final end of month actual results in BAS.	Data Type	Customer Satisfaction (Results)				Over target	Monthly		No	Omit Synchronization
	E	Citrix Launch Response Time	The time it takes the BAS application to load from the Citrix environment	Seconds	Customer Satisfaction (Results)				Under target	Annual		No	Omit Synchronization
	F	Citrix License Cost	The relatively inexpensive cost for renewing Citrix (\$8,000) provides the entire agency, including regional users and offsite users, centralized access without the difficulty of coordinating with secondary IT	Dollars	Financial Performance				Under target	Annual		No	Omit Synchronization

OMB ID	Metric ID	Metric Name	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	Target for 2018	Target for 2019	Measurement Condition	Reporting Frequency	Agency Strategic Objective or Priority Goal	Is the Metric Retired?	Include In OMB Dashboard
			administrative maintenance (dll updates, etc.)										

